



JCO Rec'd PCT/PTO 22 APR 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: CANNING, John

Serial No.: 10/031,199

Filed: January 15, 2002

For: GRATING STRUCTURE AND OPTICAL DEVICES

Examiner

Art Unit

Docket # P07482US00/MP

58  
10  
1-17-03

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

S I R :

**This IDS is submitted herewith pursuant to 37 CFR. §1.97-1.98 and includes the following:**

- ☒ A listing of the references on PTO-1449.
- ☒ A copy of references which have come to applicant's attention.
- ☒ A copy of a corresponding foreign Search Report explaining the relevance of those references.
- ☐ A separate explanation of relevance.

**Please note the following particulars concerning the filing of this IDS:**

- ☒ This IDS is filed **within three months** of the filing date of a national application other than a CPA, or within three months of the date of entry into the national stage as set forth in 37 CFR. §1.491 in an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination, whichever event occurs last.

This IDS is filed **after a first action**, but before a final action, allowance, or any other action which closes prosecution, **and:**

..... is accompanied by a check in the amount of \$180.00 required by 37 CFR. §1.17(p).

**or**

..... I hereby state that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.

..... I hereby state that no item of information in this IDS herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR. §1.56(c) more than 3 months prior to the filing of this IDS.

..... An appropriate statement is attached.

..... This IDS is filed **after a final action or allowance**, but on/before payment of the issue fee, **and:**  
..... is accompanied by a check in the amount of \$180.00 required by 37 CFR. §1.17(p).

**and**

..... I hereby state that each item of information contained in this IDS was cited in a  
..... communication from a foreign patent office in a counterpart foreign application not more  
than three months prior to the filing of this IDS.

..... I hereby state that no item of information in this IDS herewith was cited in a communication  
..... from a foreign patent office in a counterpart foreign application, or, to my knowledge after  
making reasonable inquiry, was known to any individual designated in 37 CFR. §1.56(c)  
more than 3 months prior to the filing of this IDS.

..... An appropriate statement is attached.

..... This IDS is being filed pursuant to 37 CFR. §1.97(i), **for placement in the file.**

**X** ..... If no check is enclosed and a fee is due in connection with this communication or if the check  
enclosed is insufficient, the Commissioner is authorized to charge any fee or additional fee due  
with this communication to Deposit Account No. 12-0555.

Respectfully submitted,

Date: April 22, 2002



By: Marvin Petry

Registration No.: 22752

**LARSON & TAYLOR, PLC • 1199 North Fairfax St. • Suite 900 • Alexandria, VA 22314**



Customized PTO/SB/08A

Substitute for Form 1449

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**Sheet 1 of 1

Application No.: 10/031,199  
Filing Date: January 15, 2002  
First Named Inventor: CANNING, John  
Group Art Unit:  
Examiner Name:  
Attorney Docket No.: P07482US00/MP

**U.S. PATENT DOCUMENTS**

Exam. Initial	Document No. Number - Kind	Publication Date MM-DD-YYYY	Name Patentee or Applicant	Relevance Passages or Figures
	5,164,956	11-17-1992	Lang	
	5,768,454	06-16-1998	Chesnoy et al.	
	5,631,762	05-20-1997	Kataoka	U.S. Equiv. of Derwent Abstract No. 95-015352/03
	5,140,149	08-18-1992	Sakata et al.	U.S. Equiv. of EP 386797

**FOREIGN PATENT DOCUMENTS**

Exam. Initial	DOCUMENT Country-Number-Kind	Publ. Date MM-DD-YYYY	Name Patentee or Applicant	Relevance Passages or Figures	Trans
	WO 86/01286	02-27-1986	United Technologies...		
	GB 2 209 408	05-10-1989	The Plessey Co., PLC		
	EP 386797	09-12-1990	Canon Kabushiki...	See U.S. Equiv. 5,140,149	

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Exam. Initial	Author Name (in CAPS), Title of Article/Item, Date, Page(s), Volume-Issue No., Publisher, City and/or Country where published	Trans
	Optics Communications, Vol. 171, December 1999 (Elsevier), J. Canning, M.G. Sceats, and S. Fleming, "Granting structures with phase mask period in silicon-on-silicon planar waveguides", pp. 213-217	
	Derwent Abstract Accession No. 95-015352/02, Classes P75, P81, DE 4419038 A (Hitachi Kiki KK) 8 December 1994 - Abstract -- See U.S. Equivalent 5,631,762	

Examiner Signature

Date Considered

\* Examiner: Initial if considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.